

Attorney Docket # 5367-219PUS



Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art: 1722

In re Application of

Volker HÄRLE et al.

Serial No.: 10/566,521

Filed: September 25, 2006

For: Method for the Production of a Plurality of
Opto-Electronic Semiconductor Chips and Opto-
Electronic Semiconductor Chip

REQUEST FOR CORRECTION OF FILING RECEIPT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SIR:

Attached is a copy of the official filing receipt received from the U.S. Patent and
Trademark Office in the above-identified application.

There is an error in:

- ☐ Applicants' name and/or address
- ☐ Title
- ☐ Filing Date
- ☐ Serial Number
- ☐ Priority Data (country, number)
- ☒ Incorrect Priority Date
- ☐ Other [pls specify]

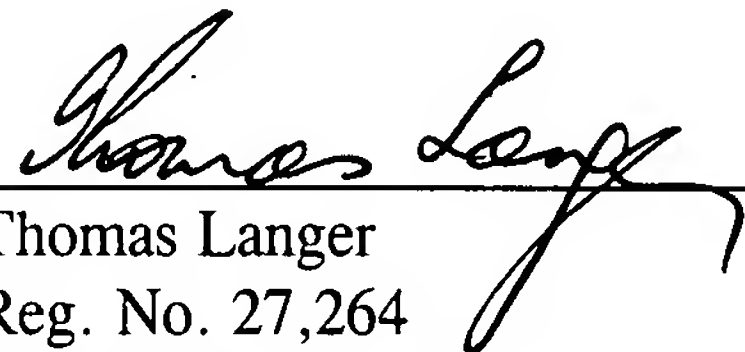
which should read as follows: **GERMANY 103 35 081.0 07/31/2003**

A copy of the filing receipt is submitted herewith on which the requested change is entered in red. We have also enclosed a copy of the PCT publication for your viewing upon correction.

It is respectfully requested that a corrected filing receipt be issued.

Respectfully submitted,
COHEN PONTANI LIEBERMAN & PAVANE LLP

By:



Thomas Langer
Reg. No. 27,264
551 Fifth Avenue, Suite 1210
New York, New York 10176
(212) 687-2770

Dated: August 6, 2007



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/566,521	09/25/2006	1722	1030	5367-219PUS	18	1

27799
 COHEN, PONTANI, LIEBERMAN & PAVANE
 551 FIFTH AVENUE
 SUITE 1210
 NEW YORK, NY 10176



CONFIRMATION NO. 7206

FILING RECEIPT



OC000000023705260

Date Mailed: 05/07/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Volker Harle, Waldetzenberg, GERMANY;

Power of Attorney: The patent practitioners associated with Customer Number 27799.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/DE04/01594 07/22/2004

Foreign Applications

GERMANY 103 35 081.0 07/30/2003 — 7/31/2003

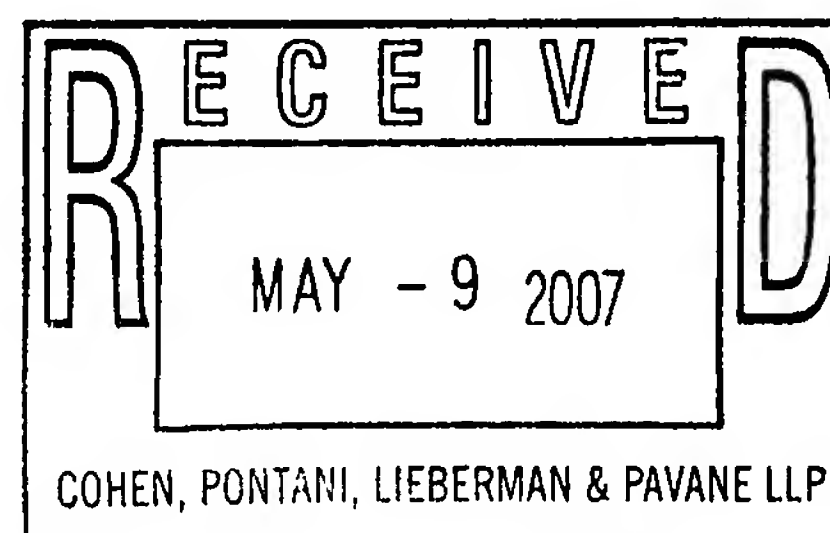
If Required, Foreign Filing License Granted: 05/04/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/566,521**

Projected Publication Date: 08/16/2007

Non-Publication Request: No

Early Publication Request: No



1077084800

Title

Method for the production of a plurality of opto-electronic semiconductor chips and opto-electronic semiconductor chip

Preliminary Class

117

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

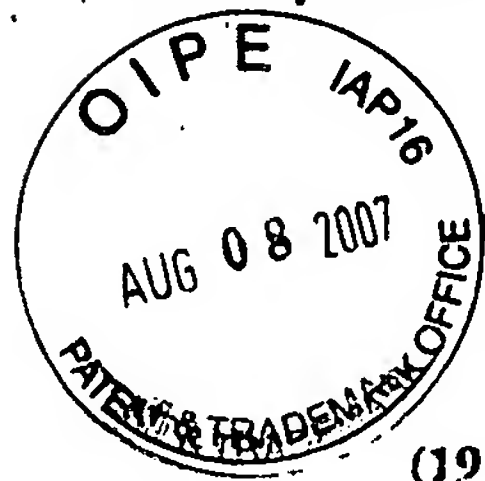
The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



(12) NACH DEM VERTRAG ÜBER DIE INTERNATIONALE ZUSAMMENARBEIT AUF DEM GEBIET DES PATENTWESENS (PCT) VERÖFFENTLICHTE INTERNATIONALE ANMELDUNG

(19) Weltorganisation für geistiges Eigentum
Internationales Büro



(43) Internationales Veröffentlichungsdatum
10. Februar 2005 (10.02.2005) ✓

PCT

(10) Internationale Veröffentlichungsnummer
WO 2005/013316 A3 ✓

(51) Internationale Patentklassifikation⁷: H01L 21/20, 33/00

(71) Anmelder (für alle Bestimmungsstaaten mit Ausnahme von US): OSRAM OPTO SEMICONDUCTORS GMBH [DE/DE]; Wernerwerkstrasse 2, 93049 Regensburg (DE). ✓

(21) Internationales Aktenzeichen: PCT/DE2004/001594 ✓

(22) Internationales Anmeldedatum:

22. Juli 2004 (22.07.2004) ✓

(72) Erfinder; und

(75) Erfinder/Anmelder (nur für US): HÄRLE, Volker [DE/DE]; Eichenstrasse 35, 93164 Waldetzingen (DE). ✓

(25) Einreichungssprache:

Deutsch

(26) Veröffentlichungssprache:

Deutsch

(30) Angaben zur Priorität:

103 35 081.0

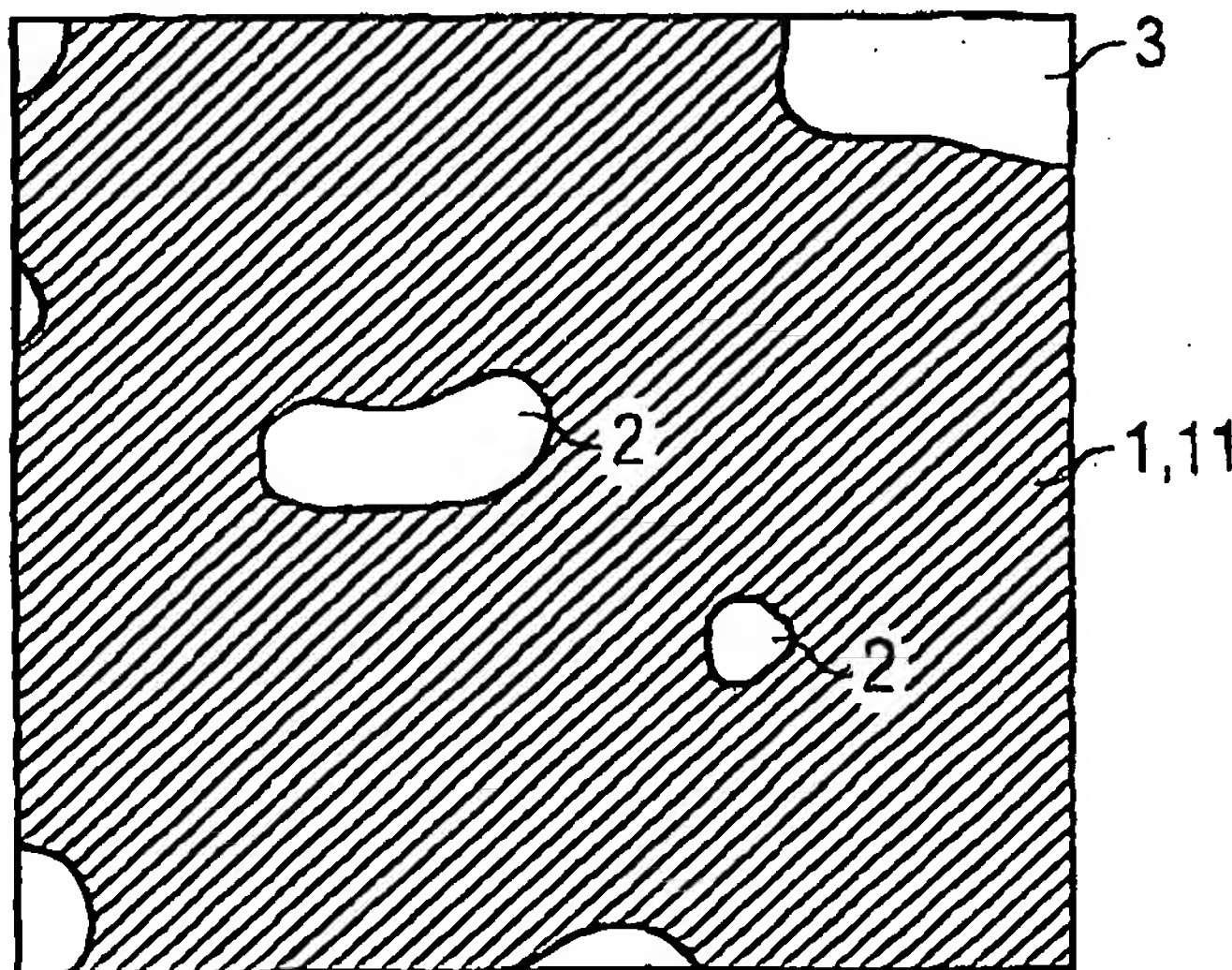
31. Juli 2003 (31.07.2003) DE ✓

(74) Anwalt: EPPING HERMANN FISCHER PATENTANWALTSGESELLSCHAFT MBH; Rüdigerstrasse 55, 80339 München (DE). ✓

[Fortsetzung auf der nächsten Seite]

(54) Title: METHOD FOR THE PRODUCTION OF A PLURALITY OF OPTO-ELECTRONIC SEMICONDUCTOR CHIPS AND OPTO-ELECTRONIC SEMICONDUCTOR CHIP

(54) Bezeichnung: VERFAHREN ZUR HERSTELLUNG EINER VIELZAHL VON OPTOELEKTRONISCHEN HALBLEITERCHIPS UND OPTOELEKTRONISCHER HALBLEITERCHIP ✓



(57) Abstract: The invention relates to a method for the production of a plurality of opto-electronic semiconductor chips respectively comprising a plurality of structural elements respectively consisting of at least one semiconductor layer. According to the inventive method, a chip composite base is produced, said base comprising a substrate and an epitaxial surface. A non-closed mask material layer is grown on the epitaxial surface. The mask material layer consists of a plurality of statistically distributed windows having various forms and/or opening surfaces. A masking material is selected in such a way that a semiconductor material of the semiconductor layer, which is grown in a later step of the inventive method, cannot grow on said material or grows in a substantially worse manner in comparison with the epitaxial surface. Subsequently, semiconductor layers are deposited on the epitaxial surface in an essentially simultaneous manner on areas located inside the windows. In another step of the inventive method, the chip composite base with deposited material is separated to form semiconductor chips. The

invention also relates to an optoelectronic semiconductor element produced according to said method.

(57) Zusammenfassung: Die Erfindung betrifft ein Verfahren zur Herstellung einer Vielzahl von optoelektronischen Halbleiterchips, die jeweils eine Vielzahl von Strukturelementen mit jeweils mindestens einer Halbleiterschicht aufweisen. Bei dem Verfahren wird eine Chipverbund-Basis bereitgestellt, die ein Substrat sowie eine Aufwachsoberfläche aufweist. Auf die Aufwachsoberfläche wird eine nicht geschlossene Maskenmaterialschiicht derart aufgewachsen, dass die Maskenmaterialschiicht eine Vielzahl statistisch verteilter Fenster mit variierenden Formen und/oder Öffnungsflächen aufweist, wobei ein Maskenmaterial derart gewählt ist, dass sich ein in einem späteren Verfahrensschritt aufzuwachsendes Halbleitermaterial der Halbleiterschicht auf diesem im Wesentlichen nicht oder im Vergleich zur Aufwachsoberfläche wesentlich schlechter aufwachsen lässt.

[Fortsetzung auf der nächsten Seite]

WO 2005/013316 A3